

Report of the Director of Adult Social Services

Report to Executive Board

Date: 16th July 2014

Subject: Capital Scheme for Adult Social Care Information Management & Technology to support the implementation of the Care Act 2014

Are specific electoral Wards affected? If relevant, name(s) of Ward(s):	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Are there implications for equality and diversity and cohesion and integration?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Is the decision eligible for Call-In?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Does the report contain confidential or exempt information? If relevant, Access to Information Procedure Rule number: Appendix number:	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Summary of main issues

- 1 From the 1st April 2015, the Care Act 2014, which has been described as the most significant change to the care and support system in over 60 years, places new statutory duties on Leeds City Council. A further more comprehensive report in relation to the Care Act implications is included elsewhere on this Executive Board Agenda.
- 2 To enable the Council to successfully fulfil these duties will require significant change to information management and technology systems. Without the investment required to implement these technology changes the Council will not be able to deliver the requirements of the Act and maintain the quality of services currently provided to the citizens of Leeds, due to the anticipated rise in demand for assessments, care and support services, and information anticipated to result from the implementation of the Act.
- 3 The Care Act implementation can be split into 2 key dates :
 - 1st April 2015 which is when there are fundamental changes to assessments and eligibility criteria.
 - 1st April 2016 is when the care cap is introduced, which will place a limit on the total amount individuals will have to pay for their care and support over their life

time, and a care account, which will enable individuals to monitor their progress towards this care cap.

- 4 Leeds City Council Adult Social Care is currently implementing a new client and case management system (CIS) due to go live in October 2014. In preparation for the Care Act, known requirements have been included in this launch. However, there are significant changes, which are currently being clarified against the very recently published consultation guidance, which will need to be implemented by all suppliers of IT systems, including Leeds City Council in partnership with Calderdale.
- 5 Essential system changes to the new client management system will be delivered as part of the maintenance agreement between Leeds City Council and Calderdale Council. However, there are a number of other significant information management and technology changes that will be required to implement the Care Act that are either not part of the maintenance agreement for CIS, or are outside of the scope of the CIS system. These include the development of online options for self-assessment, online requests for service, online review of personal care accounts, online access to care assessments, etc. To enable these online services to be available for citizens will require investment to develop electronic forms, develop interfaces between multiple systems to enable citizen access to consolidated personal information, develop links to external data sources to increase the breadth and consistency of advice and information, and develop electronic methods of data transfer of care information between authorities.
- 6 To implement the information management and technology changes associated with the Care Act will require estimated funding of £1,652,000. This funding is required over a period of 3 financial years to implement the 2 stages of the Care Act.
- 7 Existing funding of £300,000 is available from within the existing ASC Case Management System (CIS) capital scheme, and a further £744,000 has been ring-fenced within the 2015/16 Better Care Fund. This leaves a funding shortfall of £608,000 for which an injection into the capital programme is requested. See Appendix 1: IM&T Care Act 2014 Resources for breakdown of financial years.
- 8 The consultation guidance for the implementation of the Care Act has only recently been published (June 2014) and the current estimated costs for implementation are based upon the assumption that the final guidance, due in October 2014, will not change significantly.
- 9 There are already a number of significant change programmes being undertaken within Leeds City Council Adult Social Care. These include the integration of Health & Social Care within Leeds (also a requirement of the Care Act) and the implementation of a new client and case management system for Adult Social Care. The statutory changes required by the Care Act will clearly bring additional pressure on already stretched management, service provision and professional support resource undertaking this change.

Recommendations

- 1 Executive Board are recommended to note the significant change that the Care Act means for the Council and the need to invest in information management and technology systems to enable the Council to fulfil its statutory duties and continue to provide quality care and support services to the citizens of Leeds.
- 2 Executive Board are recommended to note the amount of change currently being undertaken within Leeds, both within the Council and with Health and external partners. The Care Act may have an impact on the scope and delivery timescales of these change programmes.
- 3 Executive Board are requested to approve the release of £608,000 additional funding to supplement the identified funding of £1,044,000 to implement the information management and technology change necessary to enable the successful implementation of the Care Act within Leeds City Council.
- 4 Executive Board are requested to note the officer responsible for progressing the implementation of this programme of work is the Chief Officer, Resources and Strategy within Adult Social Care.
- 5 Executive Board are requested to note that the delivery of this programme of work will commence in July 2014, subject to Executive Board approval of the funding, for a period of 2 years.
- 6 Executive Board are requested to note that the current funding estimates are based upon recently published consultation guidance which will be subject to change until October 2014. However, the Council needs to invest in the design and development of the information management and technology solutions now, if we are to achieve the first phase of the Care Act implementation deadline of 1st April 2015.

1 Purpose of this report

- 1.1 This report is to inform the Executive Board of the implications of the Care Act to Leeds City Council and the associated development and change required to information management and technology systems to support a successful implementation.
- 1.2 The changes to the information management and technology systems will require an investment of £1,652,000 and the Executive Board are requested to approve the release of £608,000 to supplement the identified funding of £1,044,000.

2 Background information

- 2.1 In July 2012, the Government published a White Paper called, 'Caring for our future: reforming care and support'. This report highlighted that the care and support system in England today is not fit for the 21st century. It does not support people to stay as independent as possible, or empower them to take control of

their lives, and is unable to respond effectively to increasing pressures over future years from an increasing ageing population.

2.2 Following the publication of the White Paper the government then set out a vision for a fundamental redesign of Adult Social Care in the Care Bill. This proposed legislation set out the vision of the White Paper and a redefinition of the relationship between the state, local authorities, citizens, service users and carers. The Care Bill has now completed its passage through both Houses of Parliament and will become law, known as the Care Act 2014, on the 1st April 2015. Therefore, Leeds City Council will have a duty to implement the requirements of the Care Act in accordance with the statutory timescales.

2.3 The Care Act 2014 represents a significant reform of care and support with a vision of putting people and their carers in control of their care and support. Key changes are :

- A limit (care cap) will be introduced on the amount anyone will have to pay towards the costs of their care regardless of savings or assets.
- A minimum eligibility threshold will be introduced across the country.
- All carers will be entitled to an assessment the same as the people they are looking after, and if they have eligible needs they will be entitled to receive support.

2.4 From an information management and technology perspective there are 2 (two) key implementation dates that need to be planned for, and the change delivered. By April 2015 the Council must ensure that we have the capacity to manage and support the potential increased demand from carers, and the additional information capture, storage and citizen access requirements. By April 2016 systems will need to be fully implemented and embedded to support the implementation of a care account which will enable people to monitor progress towards their care cap.

2.5 In addition to the statutory duty the Care Act brings to the authority, a clear strategic vision for health and social care has been set out in the 'Department of Health's Information Strategy' which is fully aligned to the Government's IT strategy and 'digital by default' agenda. Leeds, as a city, has a successful integration programme in place with our Health partners to deliver part of this strategy. However, there are some ambitions set out by the Secretary of State that need to be supported by the modernisation of services. The key ones relevant to this paper are :

- Transactions – focusing on the modernisation of services to bring the system up to the standards people expect in today's online society
- Reduced administrative burden – reducing the time front line services spend on administering systems and complying with data requirements

2.6 Leeds City Council Adult Social Care has a vision aligned to the above national ambitions to provide citizens access to care information and services via modern

online solutions. These online solutions will comprise of online self-service options for assessment and eligibility, requests for care services, tracking of progress of service requests, and review of personal information such as care account spend and assessment outcomes. These changes will benefit citizens by enabling self-service where appropriate and assist the Council in maximizing the use of its increasingly scarce resources to provide essential care services by reducing some of the administrative burden.

- 2.7 Leeds City Council Adult Social Care is working at a regional and national level with a number of external partners and stakeholders to identify opportunities to provide care services in innovative and cost effective ways. This has been recognised by the selection of Leeds to be assigned pioneer status to assist in enabling the city to go 'further and faster' to ensure children and adults experience high quality and seamless care. The development of modern online solutions as part of the Care Act implementation will provide a platform upon which to progress some of these potential initiatives such as self-management of health and social care. Please note that the funding for these initiatives is not included in this paper.

3 Main issues

- 3.1 The introduction of the Care Act in April 2015 places new statutory duties on Leeds City Council. Adult Social Care has included some of the known changes within the new client and case management system but this is only a single part of the solution. As a collective, the current information management and technology systems within Adult Social Care do not currently have the capability, or capacity, to enable the Council to meet the statutory duties placed on it by the Care Act. The key requirements identified as part of a review of preliminary guidance from Association of Directors of Adult Social Services Information Management Group (ADASS IMG) include :

- Systems need to be capable of scaling up to meet the potential increased demand for assessments
- Systems need to enable the recording of non-eligible needs, as well as eligible needs
- Provision of a compliant financial assessment system for service users and carers
- Provision of a care account for citizens to enable them to monitor progress towards the newly imposed care cap
- Provide citizens with a record of assessments and care plans. This could be written or electronic
- Implement workflow functionality to prompt review of care plans
- Implement interfaces that enable the transfer of key information such as care accounts, assessments and care plans between Local Authorities should citizens relocate

- Implement new ways of working for social care workers including the capture of information at point of contact with the service user or carer
- Ensure all systems have the citizens NHS number and that all correspondence includes this

3.2 The significant changes required to information management and technology systems to enable Leeds City Council to comply with the Care Act, and to continue to provide the current level of quality services, will have to be implemented within a challenging timescale and immovable deadlines.

3.3 Leeds is already implementing significant change due to the integrated Health agenda within the city. The additional change necessary for the Care Act will put additional pressure on already stretched management, service provision and professional support resource.

3.4 Leeds City Council Adult Social Care is currently implementing a new client and case management system due to go live in October 2014. The implementation of this is being monitored through the Corporate Governance and Audit Committee, as agreed previously by Executive Board. The Care Act will necessitate change to this system and the associated business process. Where possible, known requirements have been included in the October 2014 launch. However, consultation guidance has only recently been released and will be subject to change up to October 2014. Any significant change to this guidance will impact on the Councils ability to successfully implement the Care Act requirements and could have implications on the proposed go live date of the new client and case management system.

3.5 To enable the Council to meet the anticipated increased demand for assessments and services there will be a requirement to implement and promote the use of self service and online options where citizens are able. This will have a dependency upon the Councils current transactional web service implementation and citizen portal to deliver some of this functionality.

4 Corporate Considerations

4.1 Consultation and Engagement

4.1.1 This is a legislative change for Leeds City Council and preliminary engagement and communication has been undertaken with Lead Members for Adult Social Care, Cabinet Members and the Corporate Leadership Team.

4.1.2 An engagement, consultation and communication plan has been developed as part of the planning for the implementation of the Care Act to ensure all stakeholders are kept informed.

4.1.3 Adult Social Care has communicated with the Chief Officer (Customer Access) and the Customer Access Programme team who are currently implementing the transactional web and citizen portal product – Asidua, to make them aware of the timescales for the implementation of the Care Act and the anticipated high level

requirements. Further consultation and planning will be required as the detailed requirements become explicit.

4.2 Equality and Diversity / Cohesion and Integration

4.2.1 An Equality Screening has been completed as part of the overall Care Act 2014 implementation and is attached at Appendix 2. This screening has identified the need for a full Equality, Diversity, Cohesion and Integration Impact Assessment based on the publication of detailed secondary guidance and regulations.

4.3 Council policies and City Priorities

4.3.1 The implementation of the Care Act supports a number of Council and City aspirations and outcomes in relation to the provision of Health and Social Care services. These include :

- Best Council Outcomes : Improve the quality of life for our residents, particularly for those who are vulnerable
- Best Council 2013 – 17 objectives: ‘Delivering the Better Lives Programme’ and ‘Becoming a more efficient and enterprising council’ with a 2014/15 focus on ‘Providing effective support to help deliver the Health and Social Care integration agenda’.
- Delivery of the Better Lives programme – helping local people with care and support needs to enjoy better lives

4.3.2 The Care Act also contributes to the delivery of the ‘I’ statements that define the future transformation of Adult Social Care which the Government expects local authorities to enable citizens to be able to say:

- I am supported to maintain my independence for as long as possible
- I understand how care and support works, and what my entitlements and responsibilities are
- I am happy with the quality of my care and support
- I know the person giving me care and support will treat me with dignity and respect
- I am in control of my care and support
- I have greater certainty and peace of mind knowing about how much I will have to pay for my care and support needs

4.3.3 These changes also support the clear strategic vision for health and social care that has been set out in the ‘Department of Health’s Information Strategy’ which is fully aligned to the Government’s IT strategy and ‘digital by default’ agenda. Leeds, as a city, has a successful integration programme in place with our Health partners to deliver part of this strategy. However, there are some ambitions set out by the Secretary of State that need to be supported by the modernisation of services proposed including the expectation people have of on line transactions and reducing the administrative burden for front line staff.

4.4 Resources and value for money

- 4.4.1 Without new modern ways of providing assessments, services and information via online and self-service options the Council will have to invest in traditional resource intensive and costly methods of delivery. Therefore, the investment in information management and technology systems to enable the council to undertake its statutory duties is the best value option.
- 4.4.2 Implementing new modern ways of delivering Adult Social Care services using information management and technology will also support the Council in meeting the growing expectation that citizens can transact via online options with the Council.
- 4.4.3 The self-service and citizen portal technology to ensure the Care Act can be delivered will leverage the existing investments made in the Asidua product via the transactional web services project which is part of the Customer Access Programme.
- 4.4.4 The essential changes required to the new Adult Social Care client management system will be delivered as part of the annual maintenance agreement.
- 4.4.5 The changes to the information management and technology systems will require an estimated investment of a total £1,652,000 over the next 3 financial years. The high level breakdown of this estimated spend is :

Description	Estimated total cost
Essential changes to client management system (CIS)	£0 (included in Annual maintenance)
Desirable changes to client management system(CIS)	£50,000
IT Hardware (additional storage requirements to meet anticipated increased demand for assessments)	£60,000
Security testing of IT Systems (External approved supplier)	£20,000
Electronic form development	£220,000
ICT Services resource to : <ul style="list-style-type: none"> • Review and design solutions • Improve and expand web content with feeds from external sources • Develop interfaces between multiple systems to provide consolidated view of customers care transactions • Develop and implement national standards and interfaces to transfer care information to other authorities. • Develop systems to enable the capture and management of new information requirements such as care accounts. 	£756,000
Project Management and Analyst resource	£546,000
Total	£1,652,000

See Appendix 1: IM&T Care Act 2014 Resources for estimated breakdown of financial years.

- 4.4.6 In recognition of the need to upgrade and develop ICT systems the Government has ring-fenced sums nationally to fund this, in Leeds this equates to £744,000. This is held within the Better Care Fund for 2015/16. A further £300,000 is available from the existing ASC Case Management System (CIS) capital scheme. This scheme is also funded by the Government Grant (Community Capacity Grant). This report requests that the balance of funding, £608,000 is injected into the Capital Programme.

4.5 Legal Implications, Access to Information and Call In

- 4.5.1 The Care Act 2014 places statutory duties on the Council from the 1st April 2015.
- 4.5.2 This is a key decision and also as a decision to be taken by Executive Board is subject to call in.

4.6 Risk Management

- 4.6.1 The Information Management and Technology changes are part of the Care Act 2014 programme of work and will be delivered in accordance with the Council's project management methodology – 'Delivering Successful Change'. A risk register will be used to formally manage identified project risks based upon probability and impact. Where these could impact at programme level they will be escalated to the Care Act 2014 programme board for review and management.

5 Conclusions

- 5.1 The Care Act 2014 is a significant change to how care and support will be delivered in the future and places new statutory duties on the council. It is essential that the Council information management and technology systems and the associated business processes are capable of enabling the Council to fulfil this duty.
- 5.2 Leeds City Council Adult Social Care needs to continue to transform the way it delivers its services to the citizens of Leeds to ensure the quality remains high in the face of an increased demand from an ever increasing ageing population. It is appreciated that there will always be a need for a personal touch with regards to the provision of care and support services, but the implementation of modern technology based solutions will support these services and enable a shift to self-service for both information and support for citizens where appropriate.

6 Recommendations

- 6.1 Executive Board are recommended to note the significant change that the Care Act means for the Council and the need to invest in information management and technology systems to enable the Council to fulfil its statutory duties and continue to provide quality care and support services to the citizens of Leeds.
- 6.2 Executive Board are recommended to note the amount of change currently being undertaken within Leeds, both within the Council and with Health and external

partners. The Care Act may have an impact on the scope and delivery timescales of these change programmes.

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- 6.6 Executive Board are requested to note that the current funding estimates are based upon recently published consultation guidance which will be subject to change until October 2014. However, the Council needs to invest in the design and development of the information management and technology solutions now, if we are to achieve the first phase of the Care Act implementation deadline of 1st April 2015.

7 Background documents¹

- 7.1 None.

¹ The background documents listed in this section are available to download from the Council's website, unless they contain confidential or exempt information. The list of background documents does not include published works.